

802: Monitoring the Records of the Regional LTCOP

- A. The Office shall designate individual(s) who shall be allowed access to individual client files, records, correspondence, and/or case notes with the identity of the complainant or resident deleted for the purpose of monitoring the compliance of Regional Programs with program standards and procedures.
- B. For purposes of monitoring and supervising the LTCOP, the AAA and provider agency may review reports for specific purposes which reflect the activities of the LTCOP. The AAA, or provider agency may not review resident records or resident files without consent and approval of the Office. IDOA shall adhere to 45 CFR 1321.11 for purposes of review.
- C. The Regional Ombudsman shall conduct an annual review of selected LTCOP files in accordance with protocols developed by the Office. The results of the review shall be submitted to the provider agency, the relevant AAA and the Office.
- D. The Office shall conduct a review of the Regional Program files at least once every three years and report the results of the review to the provider agency and the AAA. More frequent reviews may be conducted at the request of the provider agency, the AAA, or IDoA.
- E. If the supervisor of the Regional Program is a designated representative of the Office, s/he shall seek permission from the Office to have limited access to the records of the Regional Program for such purposes as staff supervision, court requests, insurance or accreditation purposes. The supervisor must document the date and purpose of the record review.

- F. No state agency, AAA, provider agency, or legal representative may require a LTCO to disclose the identity of a complainant or resident without consent.
- G. AAA may not be allowed access to individual client or resident files, records, inquiry forms, correspondence, and/or case notes maintained by the LTCOP. AAAs may report any concerns to or seek needed discloseable information from the Office.